



INVENTORSHIP DECLARATION BY JOINT INVENTORS

I HEREBY DECLARE THAT:

My residence, mailing address, and citizenship are stated next to my name in PART A hereof.

I believe I am the original, first, and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled

**METHODS AND APPARATUS FOR EFFECTUATING A LASTING CHANGE IN
A NEURAL-FUNCTION OF A PATIENT**

the specification of which:

- ☐ is attached hereto.
- ☒ was filed on June 24, 2003 as Application Serial No. 10/606,202

I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with 37 CFR §1.56, including, for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim priority benefits under 35 USC §119(a)-(d) or (f), §172, or §365(a)-(b) of any foreign or international application(s) for patent or inventor's certificate listed in PART B hereof and have also identified in PART B hereof any such foreign or international application having a filing date before that of the application of which priority is claimed.

I hereby declare that all statements made herein of my knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon. I understand that the execution of this document does not in itself establish an attorney-client relationship between the undersigned and Perkins Coie, LLP, or any of its attorneys.

See page 2 attached, signed, and made a part hereof.

INVENTORSHIP DECLARATION BY JOINT INVENTORS

PART A: INVENTOR INFORMATION AND SIGNATURE

Full name of FIRST inventor: Andrew D. Firlik

Citizenship: U.S. Mailing Address: 161 Bowery Road
New Cannan, CT 06840

Residence (if different): _____

Inventor's Signature: Andrew D. Firlik Date: 11-19-03

Full name of SECOND inventor: Jeffrey Balzer

Citizenship: U.S. Mailing Address: 8176 Post Road
Allison Park, PA 15101

Residence (if different): _____

Inventor's Signature: _____ Date: _____

Full name of THIRD inventor: Bradford Evan Gliner

Citizenship: U.S. Mailing Address: 4368 230th Way SE
Sammamish, WA 98075

Residence (if different): _____

Inventor's Signature: _____ Date: _____

Full name of FOURTH inventor: Alan J. Levy

Citizenship: U.S. Mailing Address: 5435 154th Ave SE
Bellevue, WA 98006

Residence (if different): _____

Inventor's Signature: _____ Date: _____

INVENTORSHIP DECLARATION BY JOINT INVENTORS

PART A: INVENTOR INFORMATION AND SIGNATURE

Full name of FIRST inventor: Andrew D. Firlik

Citizenship: U.S. Mailing Address: 161 Bowery Road
New Cannan, CT 06840

Residence (if different): _____

Inventor's Signature: _____ Date: _____

Full name of SECOND inventor: Jeffrey Balzer

Citizenship: U.S. Mailing Address: 8176 Post Road
Allison Park, PA 15101

Residence (if different): _____

Inventor's Signature:  _____ Date: 11-20-03

Full name of THIRD inventor: Bradford Evan Gliner

Citizenship: U.S. Mailing Address: 4368 230th Way SE
Sammamish, WA 98075

Residence (if different): _____

Inventor's Signature: _____ Date: _____

Full name of FOURTH inventor: Alan J. Levy

Citizenship: U.S. Mailing Address: 5435 154th Ave SE
Bellevue, WA 98006

Residence (if different): _____

Inventor's Signature: _____ Date: _____

INVENTORSHIP DECLARATION BY JOINT INVENTORS

PART A: INVENTOR INFORMATION AND SIGNATURE

Full name of FIRST inventor: Andrew D. Firlik

Citizenship: U.S. Mailing Address: 20 Church Street
Greenwich, CT 06830

Residence (if different): _____

Inventor's Signature: _____ Date: _____

Full name of SECOND inventor: Jeffrey Balzer

Citizenship: U.S. Mailing Address: 8176 Post Road
Allison Park, PA 15101

Residence (if different): _____

Inventor's Signature: _____ Date: _____

Full name of THIRD inventor: Bradford Evan Gliner

Citizenship: U.S. Mailing Address: 4368 230th Way SE
Sammamish, WA 98075

Residence (if different): _____

Inventor's Signature: Bradford Evan Gliner Date: 8/13/03

Full name of FOURTH inventor: Alan J. Levy

Citizenship: U.S. Mailing Address: 5435 154th Ave SE
Bellevue, WA 98006

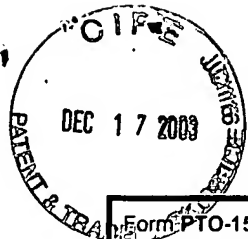
Residence (if different): _____

Inventor's Signature: Alan Levy Date: 8/13/03

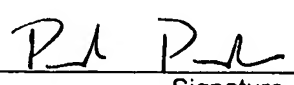
INVENTORSHIP DECLARATION BY JOINT INVENTORS

PART B: CLAIM TO PRIORITY OF FOREIGN APPLICATION(S) UNDER 35 U.S.C. § 119(a-d) and (f) § 172, or § 365(a)-(b)

Country	App. No.	Filing Date	Priority Not Claimed
			<input type="checkbox"/>
			<input type="checkbox"/>
			<input type="checkbox"/>



copy

Form PTO-1595 (Rev. 10/02, modified) OMB No. 0651-0027 (exp. 6/30/2005)		RECORDATION FORM COVER SHEET PATENTS ONLY		U.S. Department of Commerce Patent and Trademark Office			
To the Honorable Commissioner for Patents: Please record the attached original documents or copy thereof.							
1. Name of conveying party(ies): Andrew D. Firlik Jeffrey Balzer Bradford Evan Gliner Alan J. Levy			2. Name and address of receiving party(ies): Northstar Neuroscience, Inc. 2401 Fourth Avenue, Suite 500 Seattle, WA 98121				
Additional names of conveying parties attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No							
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Reassignment <input type="checkbox"/> Other							
Execution date: <u>11/19/2003, 11/20/2003 and 06/13/03</u> , respectively.			Additional names of receiving parties attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				
4. Application number(s) and/or patent number(s): If this document is being filed together with a new application, the execution date of the application is: A. Patent Application No.(s) 10/606,202						B. Patent No.(s)	
Additional numbers attached: <input type="checkbox"/> Yes <input type="checkbox"/> No							
5. Name and address of party to whom correspondence concerning document should be mailed: Customer No. 25096 Perkins Coie LLP P.O. Box 1247 Seattle, Washington 98111-1247 (206) 359-8000			6. Total No. of applications and patents involved: <u>one (1)</u>				
			7. Total fee (37 CFR §3.41): <u>\$40.00</u> . <input checked="" type="checkbox"/> Enclosed <input type="checkbox"/> Charge Deposit Account No. 50-0665				
			8. Deposit Account No. <u>50-0665</u> (Attach duplicate copy of this page if paying by deposit account)				
DO NOT USE THIS SPACE							
9. Statement and signature: <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.</i>							
Paul T. Parker				<u>12/15/03</u>			
Name of Person Signing		Signature		Date			
Total number of pages, including cover sheet, attachments and document: <u>4</u>							

ASSIGNMENT

THIS ASSIGNMENT is by Andrew D. Firlik, Jeffrey Balzer, Bradford Evan Gliner, and Alan J. Levy (the "Assignors"), residing at 20 Church Street, Greenwich, CT 06830, 8176 Post Road, Allison Park, PA 15101, 4368 230th Way SE, Sammamish, WA 98075 and 5435 154th Ave SE, Bellevue, WA 98006, respectively. We Assignors have invented one or more certain inventions described in a United States Patent Application entitled METHODS AND APPARATUS FOR EFFECTUATING A LASTING CHANGE IN A NEURAL-FUNCTION OF A PATIENT (the "Application") and ☐ executed concurrently herewith; or ☒ filed on June 24, 2003 as Application No. 10/606,202 (the "Invention(s)"). We Assignors authorize the Assignee, identified below, or its representatives to insert the filing date and application number of the Application when known.

Northstar Neuroscience, Inc., a corporation of the State of Washington having a place of business at 2401 Fourth Avenue, Suite 500, Seattle, WA 98121 ("Assignee"), desires to acquire the entire right, title and interest in and to the Invention(s) and the Application, and in and to any patents (collectively, "Patents") that may be granted for the Invention(s) in the United States or in any foreign countries.

For valuable consideration, the receipt and sufficiency of which we acknowledge, Assignors hereby sell, assign, and transfer to Assignee, its successors, legal representatives and assigns, the entire right, title and interest in and to: the Invention(s), the Application, and any Patents; any divisions, continuations, and continuations-in-part of the Application and any other application claiming priority rights from the Application; any reissues, reexaminations, or extensions of any and all Patents; the right to file foreign applications directly in the name of Assignee; and the right to claim priority rights deriving from the Application (collectively, the "Rights"). Assignors warrant that they are joint owners of the Rights, and that the Rights are unencumbered. Assignors also agree to not sign any writing or do any act conflicting with this assignment, and, without further compensation, sign all documents and do such additional acts as Assignee deems necessary or desirable to: perfect Assignee's enjoyment of the Rights; prepare and prosecute the Application or any other applications for Patents; conduct proceedings regarding the Rights, including any litigation or interference proceedings; or perfect or defend title to the Rights. Assignors request the Commissioner of Patents to issue

any Patent of the United States that may be issued on the Invention(s) to Assignee. This Assignment may be executed in counterparts.

Date: 11/19/03

Andrew D. Firlik
Andrew D. Firlik

STATE OF Connecticut
COUNTY OF Saifield

On Nov. 19, 2003 before me personally appeared Andrew D. Firlik, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

(Seal)

Debra J. Kulas
Signature

DEBRA J. KULAS
NOTARY PUBLIC
State of Connecticut
My Commission Expires 1/31/08

* * * * *

Date: _____

Jeffrey Balzer

STATE OF _____
COUNTY OF _____

On _____ before me personally appeared Jeffrey Balzer, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

(Seal)

Signature

* * * * *

any Patent of the United States that may be issued on the Invention(s) to Assignee. This Assignment may be executed in counterparts.

Date: _____

Andrew D. Firlik

STATE OF _____

COUNTY OF _____

On _____ before me personally appeared Andrew D. Firlik, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

(Seal)

Signature

Date: 11-20-03

STATE OF PENNSYLVANIA

COUNTY OF ALLEGHENY

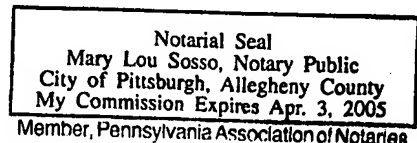
Jeffrey Balzer

On November 20, 2003 before me personally appeared Jeffrey Balzer, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

(Seal)

Signature



Date: 6/13/03

Bradford Evan Gliner
Bradford Evan Gliner

STATE OF Washington

COUNTY OF King

On June 13, 2003 before me personally appeared Bradford Evan Gliner, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

(Seal)

Charles M. Anderson
Signature

Date: 6/13/03

Alan Levy
Alan J. Levy

STATE OF Washington

COUNTY OF King

On June 13, 2003 before me personally appeared Alan J. Levy, personally known to me (or proved to me on the basis of satisfactory evidence) to be the person whose name is subscribed to the within instrument and acknowledged to me that he/she executed the same in his/her authorized capacity, and that by his/her signature on the instrument the person, or the entity upon behalf of which the person acted, executed the instrument.

WITNESS my hand and official seal.

(Seal)

Charles M. Anderson
Signature



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: ANDREW D. FIRLIK *ET AL.*

APPLICATION No.: 10/606,202

FILED: JUNE 24, 2003

FOR: **METHODS AND APPARATUS FOR
EFFECTUATING A LASTING CHANGE IN
A NEURAL-FUNCTION OF A PATIENT**

EXAMINER: UNKNOWN

ART UNIT: 3762

CONF No.: 4373

Power of Attorney by Assignee and Certification
Under 37 C.F.R. § 3.73(b)

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

I, the undersigned, acting on behalf of the Assignee of the entire right, title and interest in the above-identified patent application, by virtue of an Assignment [filed concurrently herewith appoint the attorneys and agents listed below to prosecute this application and transact all business with the U.S. Patent and Trademark Office in connection therewith. This appointment is to the exclusion of the inventor(s) and their attorney(s) and agent(s) in accordance with the provisions of 37 C.F.R. § 3.71.

All prior powers of attorney for this application are hereby revoked. The Assignee hereby appoints

STEPHEN E. ARNETT, Registration No. 47,392
RODGER K. CARREYN, Registration No. 50,774
BRIAN R. COLEMAN, Registration No. 39,145
CHRISTOPHER DALEY-WATSON, Registration No. 34,807
PETER J. DEHLINGER, Registration No. 28,006
DAVID BOGART DORT, Registration No. 50,213
DAVID T. DUTCHER, Registration No. 51,638
LEEANN GORTHEY, Registration No. 37,337
JOSEPH HAMILTON, Registration No. 51,770

PAUL L. HICKMAN, Registration No. 28,516
EDWARD S. HOTCHKISS, Registration No. 33,904
STEVEN KELLEY, Registration No. 43,449
JONATHAN P. KUDLA, Registration No. 47,724
STEVEN D. LAWRENZ, Registration No. 37,376
JACQUELINE F. MAHONEY, Registration No. 48,390
SHAILESH MEHRA, Registration No. 44,934
JUDY M. MOHR, Registration No. 38,563
CHUN M. NG, Registration No. 36,878
NGUYEN H. NGUYEN, Registration No. 43,834
REBEKKA C. NOLL, Registration No. 46,962
KENNETH H. OHRINER, Registration No. 31,646
PAUL T. PARKER, Registration No. 38,264
MAURICE J. PIRIO, Registration No. 33,273
TIM R. SEELEY, Registration No. 53,575
LAUREN SLIGER, Registration No. 51,086
LARRY W. THROWER, Registration No. 47,994
GLENN E. VON TERSCH, Registration No. 41,364
JOHN M. WECHKIN, Registration No. 42,216
JAMES A.D. WHITE, Registration No. 43,985
MICHAEL J. WISE, Registration No. 34,047
ROBERT G. WOOLSTON, Registration No. 37,263
JAMES J. ZHU, Registration No. 52,396
all affiliated with Perkins Coie LLP.

Direct all telephone calls to Paul T. Parker at (206) 287-3258. Address all correspondence to:

Customer No. 25096
Perkins Coie LLP
P.O. Box 1247
Seattle, Washington 98111-1247
(206) 583-8888

In accordance with 37 C.F.R. § 3.73(b), I hereby certify that I am empowered to act on behalf of the Assignee. To the best of my knowledge and belief, title is in the Assignee, as evidenced by the Assignment noted above.

I further declare that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, USC § 1001 and that such willful false statements may jeopardize the validity of this application or any patent resulting therefrom.

ASSIGNEE: Vertis Neuroscience, Inc.
Signature: Alan Levy
Typed Name: Alan J. Levy
Title: President and CEO
Date: 8/13/03
Address: 2401 – 4th Avenue, Suite 500, Seattle, WA 98121